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James A. Goodman CA State Bar No. 89715
Kathryn T. McGuigan CA State Bar No. 232112
EPSTEIN BECKER & GREEN, P.C.
1925 Century Park East, Suite 500
Los Angeles, California 90067-2506
Telephone: 310.556.8861
Facsimile: 310.553.2165
jgoodman@ebglaw.com
kmcguigan@ebglaw.com

FILED
2008 JUL 30 PM 2:55
CLERK US DISTRICT COURT
SOUTHERN DISTRICT OF CALIFORNIA
BY [signature] DEPUTY

Attorney for Defendant
UBS FINANCIAL SERVICES INC.
(improperly pled as "UBS Financial Services, Inc.")

UNITED STATES DISTRICT COURT

SOUTHERN DISTRICT OF CALIFORNIA

GAIL STRUTHERS, an individual, Plaintiff, v. UBS FINANCIAL SERVICES, INC., a corporation; and DOES 1 through 10, inclusive, Defendants.	CASE NO.'08 CV 1381 J JMA [San Diego County Superior Court Case No. 37-2008-00079382-CU-BT-CTL; Complaint Filed March 6, 2008] **NOTICE OF PARTIES WITH FINANCIAL INTEREST [Civil Local Rule 40.2]**

TO THE CLERK OF COURT, TO PLAINTIFF GAIL STRUTHERS, AND TO HER COUNSEL OF RECORD HEREIN:

Pursuant to Civil Local Rule 40.2, Defendant UBS Financial Services Inc. (improperly pled as "UBS Financial Services, Inc" and hereinafter, "UBSFS"), hereby discloses the following corporate information:

1) UBSFS is a wholly-owned subsidiary of UBS Americas Inc. Shares of UBSFS are not publicly traded.
2) UBS Americas Inc. is a wholly-owned subsidiary of UBS AG.
3) There are no publicly traded corporations which own more than ten percent of UBS AG stock.

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UBS Financial Services Inc. certifies that there is no publicly held company that owns 10% or more of its stock.

DATED: July 29, 2008

EPSTEIN BECKER & GREEN, P.C.

By: James A. Goodman
Kathryn T. McGuigan

Attorneys for Defendant
UBS FINANCIAL SERVICES INC.
(improperly pled as "UBS Financial Services, Inc.")

PROOF OF SERVICE

STATE OF CALIFORNIA, COUNTY OF LOS ANGELES

1. At the time of service I was at least 18 years of age and **not a party to this legal action.**

2. My business address is 1925 Century Park East, Suite 500, Los Angeles, California 90067-2506.

3. I served copies of the following documents (specify the exact title of each document served):

NOTICE OF PARTIES WITH FINANCIAL INTEREST [Civil Rule 40.2]

4. I served the documents listed above in item 3 on the following persons at the addresses listed:

Attorneys for Plaintiff:

David E. Rosenbaum
484 So. Euclid Avenue
Suite 105
Pasadena, CA 91101

Telephone: 626.432.7422
Facsimile: 626.792.5433

5. a. ☐ **By personal service.** I personally delivered the documents on the date shown below to the persons at the addresses listed above in item 4. (1) For a party represented by an attorney, delivery was made to the attorney or at the attorney's office by leaving the documents in an envelope or package clearly labeled to identify the attorney being served with a receptionist or an individual in charge of the office. (2) For a party delivery was made to the party or by leaving the documents at the party's residence between the hours of eight in the morning and six in the evening with some person not less than 18 years of age.

b. ☒ **By United States mail.** I enclosed the documents in a sealed envelope or package addressed to the persons at the addresses in item 4 and *(specify one):*

(1) ☐ deposited the sealed envelope with the United States Postal Service, with the postage fully prepaid on the date shown below, or

(2) ☒ placed the envelope for collection and mailing on the date shown below, following our ordinary business practices. I am readily familiar with this business's practice for collecting and processing correspondence for mailing. On the same day that correspondence is placed for collection and mailing, it is deposited in the ordinary course of business with the United States Postal Service, in a sealed envelope with postage fully prepaid.

I am a resident or employed in the county where the mailing occurred. The envelope or package was placed in the mail at Los Angeles, California.

c. ☐ **By overnight delivery.** I enclosed the documents on the date shown below in an envelope or package provided by an overnight delivery carrier and addressed to the person at the addresses in item 4. I placed the envelope or package for collection and overnight delivery at an office or a regularly utilized drop box of the overnight delivery carrier.

d. ☐ **By messenger service.** I served the documents on the date shown below by placing them in an envelope or package addressed to the person on the addresses listed in item 4 and providing them to a professional messenger service for service. (A declaration by the messenger must accompany this proof of service or be contained in the Declaration of Messenger below.)

e. ☐ **By fax transmission.** Based on an agreement of the parties to accept service by fax transmission, I faxed the documents on the date shown below to the fax numbers of the persons listed in item 4. No error was reported by the fax machine that I used. A copy of the fax transmission, which I printed out, is attached.

f. ☐ **By e-mail or electronic transmission.** Based on an agreement of the parties to accept service by e-mail or electronic transmission, I caused the documents to be sent on the date shown below to the e-mail addresses of the persons listed in item 4. I did not receive within a reasonable time after the transmission any electronic message or other indication that the transmission was unsuccessful.

6. I served the documents by the means described in item 5 on *(date):* July 29, 2008

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

7/29/08	Lynne Conner	
DATE	(TYPE OR PRINT NAME)	(SIGNATURE OF DECLARANT)

DECLARATION OF MESSENGER

☐ **By personal service.** I personally delivered the envelope or package received from the declarant above to the persons at the addresses listed in item 4. I delivered the documents on the date shown below to the persons at the addresses listed in item 4. (1) For a party represented by an attorney, delivery was made to the attorney or at the attorney's office by leaving the documents in an envelope or package, which was clearly labeled to identify the attorney being served, with a receptionist or an individual in charge of the office. (2) For a party, delivery was made to the party or by leaving the documents at the party's residence between the hours of eight in the morning and six in the evening with some person not less than 18 years of age.

At the time of service, I was at least 18 years of age. I am not a party to the above referenced legal proceeding.

I served the envelope or package, as stated above, on *(date):* ____________________

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

DATE	(TYPE OR PRINT NAME)	(SIGNATURE OF DECLARANT)